

# Notice of Allowability

Application No.

09/749,846

Examiner

Susanna M. Diaz

Applicant(s)

MCKAY ET AL.

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to the Examiner's Amendment agreed to on April 13, 2007.
2. ☒ The allowed claim(s) is/are 1-3, 6-25, 27-30, 33-37, 39-43, 46-65, 67-70, 73-75 and 77-82.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material

5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

*Susanna Diaz*  
SUSANNA M. DIAZ  
PRIMARY EXAMINER

AU 3694

### EXAMINER'S AMENDMENT

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Marisa Dubuc (Reg. No. 46,673) on April 13, 2007.

The application has been amended as follows:

Claim 25. (Currently Amended) A method for facilitating supplier auditing functions in a communications network environment, comprising:

receiving a request from a first enterprise system to contact a web site maintained by a second enterprise system, the first enterprise system comprising a trading partner of the second enterprise system;

said second enterprise system authenticating a user ID and password of a user of said first enterprise system;

receiving a request from the first enterprise system to initiate an activity, said activity including viewing results of an audit performed on the trading partner by the second enterprise system;

assigning an access level to the first enterprise system with respect to at least one database;

said second enterprise system retrieving data corresponding to said request from the at least one database, said data including results of the audit; and

transmitting said data to said first enterprise system based upon the access level;  
wherein said second enterprise system includes a quality information  
network application for executing activity options including the activity requested by the  
first enterprise system;

replicating selected data fields of a database associated with said second  
enterprise system resulting from a request by said first enterprise to submit data into a  
supplier response form, said request associated with a first of said activity options;

providing access to said database;

displaying said supplier response form;

receiving response data from said first enterprise system, said response data  
provided in said supplier response form;

storing said response data in said database; and

associating said response data with an entity within said second enterprise  
system.

Claim 26. (Cancelled)

Claim 27. (Currently Amended) The method of claim 26 25, wherein said entity is a  
division.

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Claim 28. (Currently Amended) The method of claim 26 25, wherein said entity is a commodity.

Claim 29. (Currently Amended) The method of claim 26 25, further comprising:  
receiving an attached text file with said response data.

Claim 30. (Currently Amended) The method of claim 26 25 wherein said associating said response data with said entity includes:  
sending a notification to said entity; and  
making said response data available to said entity.

Claim 65. (Currently Amended) A storage medium encoded with machine-readable computer program code for facilitating supplier auditing functions in a communications network environment, the storage medium including instructions for causing an enterprise system to implement a method comprising:  
receiving a request from a first enterprise system to contact a web site maintained by a second enterprise system, the first enterprise system including a trading partner of the second enterprise system;  
said second enterprise system authenticating a user ID and password of a user of said first enterprise system;

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receiving a request from the first enterprise system to initiate an activity, said activity including reviewing results of an audit performed on the trading partner by the second enterprise;

assigning an access level to a requester at the first enterprise system with respect to at least one database;

said second enterprise system retrieving data corresponding to said request from the at least one database, said data including the results of the audit; and

transmitting said data to said first enterprise system based upon the access level;

wherein said second enterprise system includes a quality information network application for executing activity options including the activity requested by the first enterprise system;

replicating selected data fields of a database associated with said second enterprise system resulting from a request by said first enterprise to submit data into a supplier response form, said request associated with a first of said activity options;

providing access to said database;

displaying said supplier response form;

receiving response data from said first enterprise system, said response data provided in said supplier response form;

storing said response data in said database; and

associating said response data with an entity within said second enterprise system.

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Claim 66. (Cancelled)

Claim 67. (Currently Amended) The storage medium of claim 66 65, wherein said entity is a division.

Claim 68. (Currently Amended) The storage medium of claim 66 65, wherein said entity is a commodity.

Claim 69. (Currently Amended) The storage medium of claim 66 65, further comprising instructions for causing a computer to implement:

receiving an attached text file with said response data.

Claim 70. (Currently Amended) The storage medium of claim 66 65 wherein said associating said response data with said entity includes:

sending a notification to said entity; and

making said response data available to said entity.

***Reasons for Allowance***

2. Claims 1-3, 6-25, 27-30, 33-37, 39-43, 46-65, 67-70, 73-75, and 77-82 are allowed.

3. The following is an examiner's statement of reasons for allowance:

Applicant's arguments addressing the McFarland (U.S. Patent No. 6,154,753) and Bons ("A Formal Specification of Automated Auditing of Trustworthy Trade Procedures for Open Electronic Commerce") references, found on pages 8-11 of the Appeal Brief filed on February 1, 2007, are deemed to be persuasive in relation to claims 1-3, 6-24, 36, 37, 39-43, 46-64, and 77-82. More specifically, while the individual elements of these claims are individually old and well-known (as seen in McFarland, Bons, and the knowledge generally available to those of skill in the art at the time of Applicant's invention), the combination of the recited elements in a unified system, method, or computer program product is deemed to be unobvious in light of the prior art, especially for the reasons presented by Applicant on pages 8-11 of the Appeal Brief filed on February 1, 2007.

Regarding claims 25, 27-30, 33-35, 65, 67-70, and 73-75, while McFarland discloses various details of auditing and mentions that audits can be outsourced, McFarland does not address the claimed details of controlling access of a first enterprise system to the audit data in a second enterprise trading partner's system in order to complete the audit of the second enterprise trading partner. Hotchkiss (US 2001/0042088 A1) discloses an auditing system in which reviewers (i.e., auditors) are assigned access rights based on the reviews to which they are assigned (§ 38); however, Hotchkiss still does not disclose the level of security details recited in claims 25, 27-30, 33-35, 65, 67-70, and 73-75 (such as the details of accessing the web site of a trading partner, authenticating a user ID and password to control data access based on an assigned access level, and replicating selected data fields of a database

associated with the second enterprise system resulting from a request by the first enterprise to submit data into a supplier response form, said request associated with a first of said activity options requested by the first enterprise). Rittenberg ("The Effects of Internal Audit Outsourcing On Perceived External Audit Independence") explores the concept of outsourcing audits using a firewall arrangement, but Rittenberg does not provide any details regarding how this would be accomplished. Therefore, claims 25, 27-30, 33-35, 65, 67-70, and 73-75 are deemed to be allowable because, while the prior art individually discloses all of the claimed elements, the combination of the recited elements in a unified method or computer program product is deemed to be unobvious in light of the prior art.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

### ***Conclusion***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.


Klemba et al. (EP 0736827 A2) – Monitors various aspects of security administration for electronic data processing.



5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Susanna M. Diaz whose telephone number is (571) 272-6733. The examiner can normally be reached on Monday-Friday, 8 am - 4:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on (571) 272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
Susanna M. Diaz  
Primary Examiner  
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April 15, 2007